

Decoding the Financial Statement PDF File Naming Convention

The file naming convention and terminology are designed by the National Association of Insurance Commissioners (NAIC).

- 1) The file name can vary in length but will have a suffix extension of **".PDF"**.
- 2) The file name to the left of the **".PDF"** extension consists of the following fields, which are delimited by an underscore ("**_**") character. The letters are not case-sensitive.
- 3) The general form of the file name is **cccc_vc_s_yyyy_f_d_vv_sa_ss_fb_p.PDF**

Symbol	Meaning		Field Number (shown solely to help decode)
cccc	Company code (a unique five-digit number assigned by the NAIC).		1
vc	Vendor code. The vendor creates the software for preparing the files. The code number is assigned by the NAIC, but it is not important for viewing purposes.		2
s	Statement type code. This identifies the type of financial statement, which may be different from the business type of the company.		3
	Code	Statement Type	
	F	Fraternal	
	L	Life, Accident, and Health	
	P	Property and Casualty	
	T	Title	
	X	Health	
yyyy	Year of the data		4
f	Submission filing type code.		5
	Code	Meaning	
	O	Original filing	
	A	Amendment filing—contains pages that supercede the original filing.	
	R	Refiling (should not appear since they are specific to the needs of the NAIC)	
d	Submission group type code.		6
	Code	Meaning	
	M	March (the ANNUAL financial statement and supplements)	
	A	April (the annual statement supplements that are due April 1)	
	J	June (The AUDITED financial statements and supplements)	
	1, 2 or 3	Show which quarter the financial statements include.	
	S	Separate Accounts—applicable only to certain Life and Fraternal companies	
vv	Filing version number. Same as the version number on the ZIP file.		7
sa	Separate Account ID. Zero unless the Submission Group Code is “S”. Used to distinguish between a company’s different separate accounts filings, if applicable.		8

Decoding the Financial Statement PDF File Naming Convention

ss	State Supplement Code. Used along with the Submission File code.		9
	<i>Code</i>	Meaning	
	NA	The NAIC has created a uniform filing code for the Submission File.	
	WA	A Washington-only filing.	
fb	Submission File code		10
	<i>Symbol</i>	Meaning	
	These are the symbols assigned by the NAIC (NA) :		
	Annual Statement (the M group type code) (PK, PI and PO also used in the S group type)		
	PK	Key Annual Statement Schedules (this contains the main financial statements and exhibits)	
	PI	Investment Annual Statement Schedules	
	PO	Other Annual Statement Schedules	
	PA	Statement Of Actuarial Opinion	
	PN	Statement Of Non-Guaranteed Elements—may apply to Life and Fraternal	
	April Supplements (in the A group type code)		
	P	Statement (also used for the quarterly group type codes)	
	PM	Management's Discussion and Analysis	
	PH	Accident and Health Policy Experience Exhibit	
	Audited Financial Statement (in the J group type code)		
	PF	Audited Financial Statements	
	These symbols are assigned and used ONLY by the state of Washington (WA) :		
	Supplements to the Annual Statement (in the M group type code)		
	PC	Supplemental Compensation Exhibit	
	PD	Additional Data Statement Form (HCSCs and HMOs only)	
	PU	The RCW 48.43.045(2) report (only for HCSCs, HMOs and Life and Property and Casualty insurers with disability authorization)	
	PY	Schedule SIS (only applies to certain companies)	
	April Supplements (in the A group type code)		
	PT	Business Written by Agency (Title only)	
	Supplements to the Audited Financial Statements (in the J group type code)		
	PE	CPA report on significant internal control deficiencies	
	PQ	CPA qualifications letter	
p	The public disclosure indicator set by the OIC during its processing of a company's filing		11
	<i>Code</i>	Meaning	
	N	Designated as containing public information	
	S	May contain non-public or personal information	
.PDF	The file name extension identifies the file as a PDF file.		

Decoding the Financial Statement PDF File Naming Convention

Examples separating the field information:

63177_10_L_2005_O_1_1_O_NA_P_N.PDF

1. 63177 = the NAIC company code for Farmers New World Life Insurance Company.
2. 10 = (not important for viewing purposes.)
3. L = a Life financial statement.
4. 2005 = contains data for 2005.
5. O = an Original filing.
6. 1 = a first quarter filing (combine with the data year to know it's March 31, 2005).
7. 1 = the version number is 1 (a unique number).
8. 0 = not a Separate Account filing.
9. NA = a standard NAIC document.
10. P = a statement.
11. N = designated as a public document.

65105_10_x_2004_o_m_1_0_na_pa_n.pdf

1. 65105 = the NAIC company code for LifeWise Health Plan of Arizona.
2. 10 = (not important for viewing purposes.)
3. X = a Health financial statement--a life and disability insurer which qualifies to file the Health (X) statement.
4. 2004 = contains data for 2004.
5. O = is an Original filing.
6. M = the March submission group.
7. 1 = the version number.
8. 0 = not a Separate Account filing.
9. NA = a standard NAIC document.
10. PA = the Statement of Actuarial Opinion.
11. N = designated as a public document.

65105_10_X_2004_O_M_1_0_NA_PI_N.PDF

Fields 1 through 9 and 11 are the same as above. The PI in field 10 = the Investment schedules of the annual statement.

65105_10_x_2004_o_m_1_0_na_pk_n.pdf

Fields 1 through 9 and 11 are the same as above. The PK in field 10 = the Key schedules of the annual statement.

65105_10_X_2004_O_M_1_0_NA_PO_N.PDF

Fields 1 through 9 and 11 are the same as above. The PO in field 10 = the Other schedules of the annual statement.

50970_13_t_2004_o_j_1_00_na_pf_n.pdf

1. 50970 = the NAIC company code for Pacific Northwest Title Insurance Company.
2. 13 = (not important for viewing purposes.)
3. T = a Title financial statement.
4. 2004 = contains data for 2004.
5. O = an Original filing.
6. J = the June submission group.
7. 1 = the version number.
8. 00 = not a Separate Accounts filing.
9. NA = a standard NAIC document.
10. PF = the Audited Financial Statements.
11. N = designated as a public document.